



PATENT  
Attorney Docket No. DPL-014

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

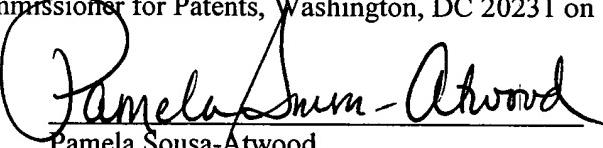
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APPLICANT: Shu  
SERIAL NO.: 10/025,113 GROUP NO.: 2152  
FILING DATE: December 19, 2001 EXAMINER: Not Yet Assigned  
TITLE: DISTRIBUTED FAULT TOLERANT AND SECURE STORAGE

DEC 27 2002  
Technology Center 2100

**CERTIFICATE OF FIRST CLASS MAILING UNDER 37 C.F.R. 1.8**

I hereby certify that this correspondence, and any document(s) referred to as enclosed herein, is/are being deposited with the United States Postal Service as first class mail, postage prepaid, in an envelope addressed to the Commissioner for Patents, Washington, DC 20231 on this 19<sup>th</sup> day of December, 2002.

  
Pamela Sousa-Atwood

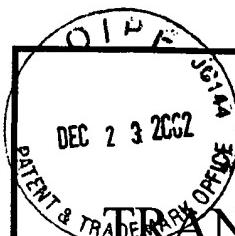
Commissioner for Patents  
Washington, D.C. 20231

Sir:

Submitted herewith are:

1. Transmittal Form (1 page);
2. Statement Regarding Small Entity Status (1 page);
3. Supplemental Information Disclosure Statement (2 pages);
4. Form PTO-1449 (1 page);
5. Copies of references cited (A37-A40, B1-B2, and C2-C8); and
6. a Return Receipt Postcard.

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**TRANSMITTAL  
FORM**

	Application Serial Number	10/025,113
	Filing Date	December 19, 2001
	First Named Inventor	Shu
	Group Art Unit	2152
	Examiner Name	Not Yet Assigned
	Attorney Docket No.	DPL-014
	BATCH NO. (after allowance)	Not applicable
	Patent No.	Not applicable
	Issue Date	Not applicable

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**ENCLOSURES (check all that apply)**

<input type="checkbox"/> Fee Transmittal Form <ul style="list-style-type: none"> <li><input type="checkbox"/> Check Attached</li> <li><input type="checkbox"/> Copy of Fee Transmittal Form</li> </ul>	<input type="checkbox"/> Copy of Notice to File Missing Parts of Application (PTO-1553) <ul style="list-style-type: none"> <li><input type="checkbox"/> Formal Drawing(s)</li> <li><input type="checkbox"/> Request For Continued Examination (RCE) Transmittal</li> <li><input type="checkbox"/> Power of Attorney (Revocation of Prior Powers)</li> <li><input type="checkbox"/> Terminal Disclaimer</li> <li><input type="checkbox"/> Executed Declaration and Power of Attorney for Utility or Design Patent Application</li> </ul>	<input type="checkbox"/> Notice of Appeal to Board of Patent Appeals and Interferences <ul style="list-style-type: none"> <li><input type="checkbox"/> Appeal Brief (in triplicate)</li> <li><input type="checkbox"/> Status Inquiry</li> <li><input checked="" type="checkbox"/> Return Receipt Postcard</li> <li><input checked="" type="checkbox"/> Certificate of First Class Mailing under 37 C.F.R. 1.8</li> <li><input type="checkbox"/> Certificate of Facsimile Transmission under 37 C.F.R. 1.8</li> <li><input type="checkbox"/> Additional Enclosure(s) (please identify below)</li> </ul>
<input type="checkbox"/> Amendment/Response <ul style="list-style-type: none"> <li><input type="checkbox"/> Preliminary</li> <li><input type="checkbox"/> After Final</li> <li><input type="checkbox"/> Affidavits/declaration(s)</li> <li><input type="checkbox"/> Letter to Official Draftsperson including Drawings [Total Sheets _____]</li> </ul>	<input type="checkbox"/> Small Entity Statement	<input checked="" type="checkbox"/> CD(s) for large table or computer program
<input type="checkbox"/> Petition for Extension of Time	<input type="checkbox"/> Amendment After Allowance	<input type="checkbox"/> Request for Certificate of Correction <ul style="list-style-type: none"> <li><input type="checkbox"/> Certificate of Correction (in duplicate)</li> </ul>
<input checked="" type="checkbox"/> Supplemental Information Disclosure Statement <ul style="list-style-type: none"> <li><input checked="" type="checkbox"/> Form PTO-1449</li> <li><input checked="" type="checkbox"/> Copies of IDS Citations</li> </ul>		
<input type="checkbox"/> Certified Copy of Priority Document(s)		
<input type="checkbox"/> Sequence Listing submission <ul style="list-style-type: none"> <li><input type="checkbox"/> Paper Copy/CD</li> <li><input type="checkbox"/> Computer Readable Copy</li> <li><input type="checkbox"/> Statement verifying identity of above</li> </ul>		

**CORRESPONDENCE ADDRESS**

**SIGNATURE BLOCK**

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Date: December 19, 2002  
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Respectfully submitted,

*Jamie H. Rose*  
 Jamie H. Rose  
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## STATEMENT REGARDING SMALL ENTITY STATUS

Attorney Docket No. DPL-014

Applicant, Patentee, or Identifier: Shu

Application or Patent No.: 10/025,113

Date Filed or Issued: December 19, 2001

Title: DISTRIBUTED FAULT TOLERANT AND SECURE STORAGE

NAME OF SMALL BUSINESS OR NONPROFIT ORGANIZATION: Charles Stark Draper Laboratory.

ADDRESS OF SMALL BUSINESS OR NONPROFIT ORGANIZATION: 555 Technology Square, Cambridge, MA 02139.

I hereby state that the above identified small business concern or nonprofit organization qualifies as a small entity as defined in 37 CFR 1.27 for purposes of paying reduced fees to the United States Patent and Trademark Office. For a small business concern, the number of employees of the concern, including those of its affiliates, does not exceed 500 persons. For purposes of this statement, (1) the number of employees of the business concern is the average over the previous fiscal year of the concern of the persons employed on a full-time, part-time, or temporary basis during each of the pay periods of the fiscal year, and (2) concerns are affiliates of each other when either, directly or indirectly, one concern controls or has the power to control the other, or a third party or parties controls or has the power to control both.

I hereby state that rights under contract or law have been conveyed to and remain with the small business concern or nonprofit organization identified above with regard to the invention described in:

- the application identified above.  
 the patent identified above.

If the rights held by the above identified small business concern or nonprofit organization are not exclusive, each individual, concern, or organization having rights in the invention must execute separate statements as to their status as small entities, and no rights to the invention are held by any person, other than the inventor, who would not qualify as an independent inventor under 37 CFR 1.27(a)(1) if that person made the invention, or by any concern which would not qualify as a small business concern under 37 CFR 1.27(a)(2), or a nonprofit organization under 37 CFR 1.27(a)(3).

- No such person, concern, or organization having any rights in the invention exists.  
 Each such person, concern, or organization having any rights in the invention is listed below.

I acknowledge the duty to file, in this application or patent, notification of any change in status resulting in loss of entitlement to small entity status prior to paying, or at the time of paying, the earliest of the issue fee or any maintenance fee due after the date on which status as a small entity is no longer appropriate.

NAME OF PERSON SIGNING

Joseph M. Wolfe, Jr.

TITLE OF PERSON SIGNING

Vice President Finance and Administration

ADDRESS OF PERSON SIGNING

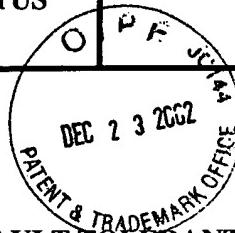
555 Technology Square, Cambridge, MA 02139

SIGNATURE

DATE

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